Department of Energy
Carlsbad Field Office
P. O. Box 3090
Carlsbad, New Mexico 88221

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Mr. M. W. Lipscomb
Quality Assurance Manager
Washington TRU Solutions
P.O. Box 2078
Carlsbad, NM 88221-2778

Subject: Transmittal of Audit Report for Audit A-04-21

Dear Mr. Lipscomb:

The Carlsbad Field Office (CBFO) performed Audit A-04-21 of the Washington TRU Solutions (WTS) on August 2-5, 2004. The audit team concluded that the overall status of the WTS Quality Assurance Program is adequate, satisfactorily implemented and effective. The details of the audit as well as conclusions are detailed within the attached audit report.

If you have any questions or comments, please contact me at (505) 234-7442.

Sincerely,

M. Lea Chism

M. Lea Chism
Quality Assurance Specialist

Enclosure

cc: w/enclosure
A. Holland, CBFO *ED
S. Warren, WTS *ED
S. Zappe, NMED *ED
M. Eagle, EPA *ED
D. Winter, DNFSB *ED
N. Frank, CTAC *ED
S. Harrison, CTAC *ED
WTS Operating Record, MS 486-06
CBFO QA File
CBFO M&RC

*ED denotes electronic distribution
CBFO:QA:MLC:GS:04-1599:UFC 2300.00

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U.S. DEPARTMENT OF ENERGY
CARLSBAD FIELD OFFICE

AUDIT REPORT

OF

WASHINGTON TRU SOLUTIONS (WTS)

CARLSBAD, NEW MEXICO

AUDIT NUMBER A-04-21

August 2-5, 2004

WTS QUALITY ASSURANCE PROGRAM

Prepared By: _____ Date: 8/24/04
Norman C. Frank
Audit Team Leader, CTAC

Approved By: _____ for A. Holland Date: 9-1-04
Ava L. Holland
CBFO QA Manager

EXECUTIVE SUMMARY

Carlsbad Field Office (CBFO) Audit A-04-21 was conducted to evaluate the adequacy, implementation, and effectiveness of a technical and quality assurance (QA) processes related to the Washington TRU Solutions QA program and to waste handling activities. The audit evaluated selected Carlsbad Field Office (CBFO) Quality Assurance Program Document (QAPD) sections, which were related to requirements of ASME/NQA-1, 1989, Criteria 2 (training only), 4, 5, 7, 8, 9, 12, 13, and 16 and ASME/NQA-2, Part 2.7. The associated WTS implementing procedures were also evaluated to ensure the requirements were implemented and effective. The audit was conducted at the Waste Isolation Pilot Plant (WIPP) site and at the WTS facilities in Carlsbad on August 2-5, 2004.

The audit team concluded that overall, the WTS Quality Assurance (QA) Program is adequate relative to the flow-down of selected requirements from the CBFO QAPD and from ASME NQA-1, 1989 edition, Criteria 2 (training only), 4, 5, 7, 8, 9, 12, 13, and 16 and ASME/NQA-2, Part 2.7, to the WTS QAPD and WTS implementing procedures. In addition, the audit team concluded that, with the exceptions noted in the Corrective Action Reports, that the implementing procedures are satisfactorily implemented and are effective.

The audit team identified nine conditions adverse to quality. Five of the conditions adverse to quality resulted in the issuance of four CBFO Corrective Action Requests (CARs) that require corrective actions (two conditions adverse to quality were combined into a single CAR). These CARs relate to criterion 5 - Instructions, Procedures, and Drawings; criterion 9, Control of Work Processes; criterion 16, Corrective Action; and criterion 17, Quality Assurance Records. Two isolated deficiencies requiring only remedial corrective actions were corrected during the audit (CDA). One Observation and one Recommendation are offered for management consideration. The CARs, CDAs, Observation, and Recommendation are described in Section 6.0.

SCOPE

The audit team evaluated the adequacy, implementation, and effectiveness of selected QA processes related to the WTS QA Program.

The following criteria from NQA-1, as reflected in the CBFO QAPD were evaluated:

Criterion 2 - Training only
Criterion 4 - Procurement Document Control
Criterion 5 - Instructions, Procedures, and Drawings
Criterion 7 - Control of Purchased Items and Services
Criterion 8 - Identification and Control of Items
Criterion 9 - Control of Processes
Criterion 12 - Control of Measuring & Test Equipment

Criterion 13 - Handling, Storage, and Shipping

Criterion 16 - Corrective Action

The evaluation of the WTS QA documents for adequacy was based on the CBFO QAPD, DOE/CBFO-94-1012, Rev. 5, May 2003, and ASME/NQA-1, 1989 edition, criteria 2 (training only), 4, 5, 7, 8, 9, 12, 13, and 16, and ASME/NQA-2 part 2.7 for software. Sample control was evaluated to CBFO QAPD Section 5 requirements.

3.0 AUDIT TEAM AND OBSERVERS

CBFO AUDIT TEAM

M. Lea Chism	Management Representative, CBFO
Norman C. Frank	Audit Team Leader, CTAC
Annabelle Axinn	Auditor, CTAC
Tammy Bowden	Auditor, CTAC
John Gray	Auditor, CTAC
Sandra Harrison	Auditor in Training, CTAC
Ava Holland	Auditor, CTAC
Jeff May	Auditor, CTAC
Tommy Putnam	Auditor, CTAC

OBSERVERS/INSPECTORS

None

AUDIT PARTICIPANTS

Individuals contacted during the audit are identified in Attachment 1. A preaudit conference was held in the WTS Support Building large conference room on August 2, 2004. The audit was concluded with a postaudit conference held in the Support Building large conference room on August 5, 2004.

SUMMARY OF AUDIT RESULTS

Program Adequacy, Implementation, and Effectiveness

The audit team concluded that overall, the WTS QA Program is adequate relative to the flow-down of requirements from the ASME NQA-1, 1989 edition, Criteria 2 (training only), 4, 5, 7, 8, 9, 10, 11, 12, 13, and 16, and the CBFO QAPD to the WTS QAPD and implementing procedures. In addition, the audit team concluded that, with the exceptions noted in the Corrective Action Reports, the implementing procedures are satisfactorily implemented and are effective.

QA Program Audit Details

The evaluation to NQA-1 requirements started with the review of the WTS QAPD, and the WTS implementing procedures to ensure that NQA-1 requirements flowed into the implementing procedures. The results of the evaluation of the adequacy, implementation, and effectiveness of the WTS quality assurance program are provided below.

5.2.1 Criterion 2 (Training only)

The audit team verified that the training requirements contained in the CBFO QAPD are adequately addressed in the WTS QAPD. Training records were reviewed and training was verified for a sample of 13 employees including personnel in inspection and testing (five), sample control (seven), and shipping (one). The audit team verified that the Level 3 Managers conduct the training for inspection, test, and NDE personnel. The audit team reviewed the training and qualifications for the waste handling technicians, waste handling engineers, radiological control technicians, radiological control engineers, and managers. A print out of the training courses for each individual was obtained from the WTS Training Department. This record was compared to the training and qualifications requirements of DOE/WIPP 3183, *CH Packaging Program Guidance,* Attachment C, *CH Packaging Qualification Requirements* and other waste handling documents. Portions of the training requirements are covered in the qualification cards for each position and others by specific training courses. The audit team then sampled the actual records that made up the print out to ensure they were properly documented. The audit team found the training and qualification to be documented and meeting requirements. Overall, the training program performed by WTS is adequate, fully implemented, and effective.

Criterion 4 - Procurement Document Control

The procurement planning, control, and documentation requirements addressed in the NQA-1 are adequately addressed in the WTS QAPD. These requirements are fully implemented in the WTS procedures associated with procurement, property control, and documentation. Procurements are properly planned, graded, and documented. The procurement and QA organizations work as a team in all phases of procuring items and services through cooperative grading, technical reviews, supplier selection, and ongoing evaluation of qualified suppliers. Items received are fully inspected, tracked in the Integrated Financial Management System (IFMS), and warehoused in a controlled manner. Discrepancies are identified and documented and deficient items are isolated and tagged before disposition. Quality level inspections are conducted by qualified QA inspectors, including any NDE inspections. The storage inventory is maintained in the site warehouse and underground items are issued from the warehouse; there is no underground storage inventory. Overall, the procurement and property program activities performed by the WTS are adequate, fully implemented, and effective.

5.2.3 Criterion 5 - Instructions, Procedures, and Drawings

The audit team evaluated the WTS implementing procedures to the requirements of Criterion 5 – Instructions, Procedures, and Drawings. The evaluation to NQA-1 requirements started with the performance of a crosswalk between NQA-1, the CBFO QAPD, the WTS QAPD, and WTS implementing procedures to ensure NQA-1 requirements flowed into the implementing procedures. One concern was identified regarding a lack of a work suspension and stop-work implementing procedure. This concern became CAR 04-034. A sample of procedures, management charters, management policies, and work instructions were reviewed in the areas of WTS controlled document processing, maintenance operations instruction manual, and handling, shipping and storage. Overall, the processes applicable to instructions, procedures, and drawings were determined to be adequate, satisfactorily implemented, and effective.

5.2.4 Criterion 7 - Control of Purchased Items and Services

The audit team evaluated the control of purchased items and services. The audit team conducted interviews with personnel from Warehouse Inventory Control, Training, and Quality Assurance Inspection. The team evaluation of objective evidence included purchase requests, statements of work, source/receipt inspection verification sheets, nonconformance reports, CARs, training files, store stock requests, material control inventory data listings report, and the warehouse annual inventory. The processes for control of purchased items and services were analyzed from the time an item was received until it was sent to the requestor. Overall, the processes applicable to control of purchased items and services were determined to be adequate, satisfactorily implemented, and effective.

5.2.5 Criterion 8 - Identification and Control of Items

The audit team evaluated the identification and control of items. The team observed work by maintenance and warehouse personnel, focusing on identification and control of items. Items were also looked at in the underground tool crib. Although consumable items (e.g., nuts, bolts, screws, drill bits) are not controlled, all non-consumable items on the surface are identified through a database system, which also tracks the item. Identification was retained during preventive maintenance activities. Identification control system records were verified to ensure that items had been inspected and certified. The processes for identification and control of items were determined to be adequate, satisfactorily implemented, and effective.

5.2.6 Criterion 9 - Control of Processes

The audit team evaluated

- The procedures for the waste handling processes for adequacy with respect to the CBFO QAPD upper-tier requirements
- Implementation of these procedures with respect to transuranic waste received

at WIPP, removal from the TRUPACT-II type B container, empanelment of the waste under ground, and return of empty TRUPACT-II containers to the generator site

- The effectiveness of the procedures and personnel to safely dispose of the waste in accordance to permit and QAPD requirements.

The audit team determined that with the exception of the waste handling activities associated with CAR 04-036, that WIPP waste handling activities are adequate, implemented, and effective. CAR 04-036 indicates that work activities associated with the installation of ICV and OCV O-rings and inspection of the ICV and OCV lids has not been properly implemented nor is it effective. CAR 04-036 is described in Section 6.0.

5.2.7 Criterion 12 - Control of Measuring and Test Equipment

The calibration requirements for M&TE and M&DC addressed in the CBFO QAPD are adequately addressed in the WTS QAPD and are fully implemented in the associated WTS procedures. Equipment used for inspections and tests is properly calibrated and maintained. Metrology has established a database system to control the use and calibration of M&TE and provide documentation. The program used to recall M&TE for calibration or to remove from service any equipment that has exceeded its calibration interval or that needs modification, repair, or replacement is in place and is effective. Notifications of out-of-tolerance conditions are properly sent to the user and cognizant QA management. Overall, the M&TE and M&DC calibration activities performed by WTS are adequate, satisfactorily implemented, and effective.

5.2.8 Criterion 13 - Handling, Storage, and Shipping

The audit team evaluated the WTS handling, storage, and shipping programs in relation to the CBFO QAPD requirements. This evaluation included interviews with WTS personnel, review of applicable procedures and documentation relating to the WTS transportation program, including, TRU waste receipt, empty Type-B Package shipment, shipment of hazardous materials by air, shipment of nonradioactive waste and storage of spare parts within the WTS warehouse. During this evaluation various receipt, shipping packages and storage records were reviewed including Rocky Flats shipment No. RF040357 – TRUPACTs Nos. 158, 185, and 187, Empty TRUPACT shipment MTSRO40158 – TRUPACTs Nos. 191 and 202, Hazmat shipment 04-002, nonradioactive hazardous waste shipment No. 04004, hazmat shipment by air No. 02001 which occurred in 2002, and Stores Stock Requests Nos. 6802, 6806, 6811, 6813, and 6818. No concerns were identified within the handling, storage, and shipping program in relation to the CBFO QAPD requirements. Overall, the WTS handling, storage, and shipping program in relation to the CBFO QAPD requirements was determined to be adequate, satisfactorily implemented, and effective.

5.2.9 Criterion 16 - Corrective Action

The audit team evaluated the new "WIPP Form" program instituted by WTS. The new form has generated in five months more than twice the number of issues that were generated during all of 2003. The program appears to be working to bring all issues to management attention. A sample of nine WIPP Forms was selected and reviewed. One Corrective Action Report (CAR 04-037) was issued concerning the completeness and accuracy of completion of the WIPP Forms. Overall, the process was determined to be adequate, satisfactorily implemented, and effective.

5.2.10 NQA-2, Part 2.7 - Software Control

WWIS

The audit team evaluated the WTS WWIS program in relation to the CBFO QAPD software requirements. This evaluation included interviews with WWIS personnel, review of applicable procedures and documentation relating to the maintenance of the WWIS software such as Engineering Change Orders (ECO), Software Test Plans, and Security Test Plans for effective implementation. During this evaluation the ECO for WWIS version 4.17, its associated Software Test Plan and Security Test Plan were reviewed. In addition, the Software Project Management Plan, Software Quality Assurance Plan, Software Requirements Specification, and WIPP TRAMPAC Evaluation Software Upgrade Software Design Description for WIPP Contract No.WIPP1-PO401691 with International Software Engineering, Inc. (INSEI) were reviewed. The audit team also evaluated three concerns identified by EPA from the EPA report (Docket No. A-98-49, II-A4-39; Number EPA-CBFO-WWIS-01.04-24) dated March 4, 2004 regarding personnel using the correct version of test plans, test plan version control, and maintenance of copies of test data or input parameters for test versions. The audit team determined that WWIS personnel are using the correct versions of test plans and that these test plans are available and controlled through the ECO system, the test plans are identified by version and revision number, and that the test data or input parameters are delineated within the reviewed test plan that is controlled as part of the ECO. No concerns were identified within the WWIS program in relation to the CBFO QAPD software requirements. Overall, the WWIS program in relation to the CBFO QAPD software requirements was determined to be adequate, satisfactorily implemented, and effective.

Software Control

A sample of five items from the Controlled Software Log was selected and evaluated. Although all documentation was available for the audit, one Corrective Action Report (CAR-04-35) and two Corrected During the Audit (CDA #1 and #2) items resulted from the review. These are described in Section 6.0 of this report. Overall, the control of software was determined to be adequate, marginally implemented, and effective.

5.2.11 CBFO QAPD Section 4.0 - Sample Control

The evaluation of the WTS sample control program addressed the identification, labeling, preservation, storage, shipping, analysis, and disposal of environmental samples. Included in this assessment was the control of hazardous, non-hazardous, radiological, and non-radiological samples collected on the WIPP site both underground and aboveground, and samples collected offsite. Samples include diverse media, including air, surface water, water run-off, groundwater, drinking water, soil, sediment, and biota. There are separate regulations and requirements for different types of samples. The samples are labeled, and transported to the appropriate laboratories for radiological and/or non-radiological analyses. Some samples are totally consumed during analysis, while portions of others are either retained for future needs, or are disposed of. One observation was made concerning a chain of custody form that allows for additional entries to be made subsequent to its validation. In addition, there was one recommendation to exclude an external laboratory's form that appeared in several data packages, which provided no required information that could not be found elsewhere (but did contain some erroneous entries) from the data packages. Sample control was evaluated through review of WTS implementing procedures, interviews with technical staff, sampling and laboratory personnel, and review of objective evidence (e.g., field and laboratory logbooks, analysis requests, data packages, chain of custody forms and personnel qualifications). Overall, sample control activities performed by WTS are adequate, satisfactorily implemented, and effective.

CARs, CDAs, OBSERVATIONS, RECOMMENDATIONS, AND EXEMPLARY PRACTICES

6.1 Corrective Action Reports

Corrective Action Reports (CARs) are prepared to document Conditions Adverse to Quality. CARs are used to identify, document, and verify actions taken to correct and preclude recurrence of Conditions Adverse to Quality.

The following CARs were initiated as a result of Audit A-04-21 and have been transmitted to WTS under separate cover. A brief description of each CAR is provided below.

CBFO CAR 04-034

There is no implementing procedure that provides a process (who and how) for work suspension and stop-work. There is a Management Policy, MP 2.1, Rev.4, "Work Suspension and Stop-Work Direction", but no procedure to implement the policy.

CBFO CAR 04-035

The records for "Well Statistics.xls" and for WIPP Serial Sampling Parameter Calculation" software had not been submitted to QA records.

6.1.3 CBFO CAR 04-036

Preparation of TRUPACT-IIs for return to sites is not performed with sufficient thoroughness and attention to detail. The auditors observed two examples where the procedure / process implementation and effectiveness was not adequate to prevent or identify potential deficiencies.

6.1.4 CBFO CAR 04-037

WIPP Forms are not being completed in a thorough manner. Four examples of incomplete or inaccurate information on WIPP Forms are provided in the CAR.

Deficiencies Corrected During the Audit (CDA)

Items Corrected During the Audit (CDA) are Isolated deficiencies that do not require a root cause determination or actions to preclude recurrence, and correction of the deficiency can be verified prior to the end of the audit. Examples include: One or two minor changes required to correct a procedure (isolated); one or two forms not signed or not dated (isolated); and one or two individuals have not completed a reading assignment.

Two deficiencies, requiring remedial action only, were identified and corrected during the audit. These CDAs are identified below, in the completed checklists, and documented on the CDA forms, which are maintained as CBFO QA records.

6.2.1 CDA No. 1

The Controlled Software Log had 1/14/04 for the "Date of SW QA Plan" for SALT2.CSI. The actual QA plan for SALT2.CSI is dated 3/10/00. These dates do not match. This list is kept by NCI for WTS. The auditor verified that the Controlled Software Log was revised to change the "Date of SW QA Plan" column to "Date of Checklist".

CDA No. 2

The Installation and Checkout form was not completed for SALT2.CSI software. The auditor verified that the Installation and Checkout was completed and referenced the actual date the software was installed on the system.

Observation

An Observation is a condition that, if not controlled, could result in a Condition Adverse to Quality.

This following observation is presented for WTS management consideration.

Environmental VOC chain-of-custody record form WP 12-VC.021 has the following statement preceding spaces for signature and date: "Completion of this step constitutes validation of this record and is found to be complete." Chain-of-custody reviewed

showed signature and date at this step however; chain-of-custody entries showed subsequent entries had been made. This met the process as specified in the implementing procedure.

6.4 Recommendation

A Recommendation is a suggestion that is directed toward identifying opportunities for improvement and enhancing methods of implementing requirements.

This following recommendation is presented for WTS management consideration.

CEMRC form "Analysis Request Form Volatile Organic Compounds Analysis", placed in data packages for WIPP VOC checks is superfluous, and provides no information that is not already available on other WTS records. The audit team recommends that the form not be retained as a QA record.

7.0 LIST OF ATTACHMENTS

Attachment 1: Personnel Contacted During the Audit
Attachment 2: WTS Implementing Procedures

NAME	ORGANIZATION	PREAUDIT MEETING	CONTACTED DURING AUDIT	POST AUDIT MEETING
Akbarzadeh, Mansour	WTS SS&TS			X
Allen, Bill	WTS Manager Prog/Proj Integration	X		X
Anderson, Scott	WTS Ops			X
Ater, Ed	WTS Manager Oversight Programs	X		X
Boatwright, Wesley	WRES		X	X
Bostick, Leroy	WTS Surface Ops & Maint.	X		X
Brewer, Danny	WTS Maint. Ops		X	
Britain, Randy	Waste Ops Manager	X	X	X
Carrasco, Rey	WTS Ops		X	
Carrasco, Ruben	Transportation Ops/WTS	X	X	X
Cassingham, Bertha	WTS QA		X	
Chatfield, Randy	ETSG WWIS subcontract		X	
Chism, Gary	WTS Waste Ops		X	
Crawley, Mark	WRES, Hydro	X		
Darrah, Kyle	WTS Waste Ops		X	
Dycus, Steve	WTS Waste Ops		X	
Estrada, Leo	WTS QA		X	
Flynn, Ed	WTS/OPS I&C Maintenance	X	X	X
Foster, Bill	WRES, Hydo	X	X	X
Friend, Mark	WTS Procurement		X	
Galbraith, Don	CBFO Fac Rep			X
Hoff, Jon	WTS Manager Assurance Prog.	X	X	X
Holland, Ava	CBFO QA Manager	X	X	X
Ingram, Marcus	WTS Waste Ops		X	
Jasso, Pat	WTS Waste Ops		X	
Jennings, Stony	WTS Waste Ops		X	
Johnson, Angela	WTS Manager Transportation Ops	X	X	X
Johnson, Jim	WTS QA		X	
Jones, Stewart	WRES SEC Mgr		X	X
Keathley, Martin D.	WTS QA	X	X	
Kidwell, Margie	WTS SSTS		X	
Legarreta, Jose M.	WTS Procurement	X	X	
Lewis, Ed	WTS Geotechnical Engr		X	

NAME	ORGANIZATION	PREAUDIT MEETING	CONTACTED DURING AUDIT	POST AUDIT MEETING
Lichty, Thomas	WTS Training	X	X	X
Lipscomb, Mike	WTS QA Manager	X		X
Littleton, Kathy	WTS Mine Engr		X	
Littrell, C.	WTS Radiological Sampling		X	
Marrs, Johnny	Mine Maintenance		X	
McCollaum, J. D.	OPS/ Tool Crib		X	
Mullins, Mary Ann	WTS QA			X
Munoz, Adrian	WTS Waste Ops		X	
Nance, Kirk	WTS Waste Ops		X	
Patchet, S. J.	WTS Manager Mine Engineering		X	
Phillips, James	WTS Maint. Ops		X	
Preciado, Ernest	CBFO Waste Ops. Manager	X		X
Prentiss, Bob	WTS Procurement	X	X	X
Richardson, Ron	WRES/EM&H	X		
Salness, Rick	WRES EM&H		X	X
Sanders, Curtis	WTS QA	X	X	
Santo, Linda L.	WTS Mine Engr		X	
Schrock, Beverly	WTS Waste Ops		X	
Sethi, Subhash	WTS Ops			X
Shroff, Behram	EPA			X
Sieger, Joel	WRES Manager EM&H		X	
Simmons, Craig	Document Services	X	X	X
Simmons, Roger	WTS EM Tech	X	X	X
Speed, David	WWIS/WTS		X	
Stockwell, R.L.	WTS ESH III		X	
Travis, Steve	WRES		X	X
Vandekraats, John	WTS Geotech Engrg.			X
Vasquez, Joe	L&M Warehouse	X	X	X
Wade, Bob	WTS Radcon Manager	X	X	X
Warren, Steve	WTS General Manger			X
Whiteford, Ginny	WTS SSTS	X	X	X
Whiteley, Rick	WTS/ Operations/ Calibration		X	
Wiedenhoeft, Dave	WTS QA	X	X	
Will, Lisa	WTS QA	X		

NAME	ORGANIZATION	PREAUDIT MEETING	CONTACTED DURING AUDIT	POST AUDIT MEETING
Youngerman, Steve	WTS Dep. Ops. Manager	X		X
Zimmerly, Ben "Ty"	WTS Repository Development		X	

WTS Implementing Procedures Included In Audit A-04-21	
Activities	**Applicable WTS Documents**
All Criteria	MP 13-1, Washington TRU Solutions, LLC, Quality Assurance Program Description
Criterion 2 - Training only	MP 1.30, Required Reading WP-TR.01, WIPP Training Program 14 -TR3004, Training Development 14 -TR3005, Preparation, Administration, and Grading of Examinations 14 -TR3008, Table-Top Analysis and Design 14 -TR3301, Administrative Board Review 14 -TR3305, Instructor Qualification 14 -TR3307, Qualification Programs 14 -TR3308, On-The-Job Training 14 -TR3309, Training Evaluation 13-QA.06, Quality Assurance Department Qualification and Certification of Nondestructive Examination Personnel
Criterion 4 - Procurement Document Control (CBFO QAPD Section 2.3 - 2.3.2.9 D.4 and WTS QAPD 2.3 - 2.3.4 D)	MP 1.34, WTS Procurement and Property Program 15-PC3042, Credit Card Purchases 15-PC3044, Quality Credit Card Purchases 15-PC3605, Proposal, Competition, Identification, Selection, Evaluation, and Award 15-PC3609, Preparation of Purchase Requisitions 15-PM3517, Stores Inventory Control 13-QA3012, Supplier Evaluation/Qualification
Criterion 5 - Instructions, Procedures, and Drawings (CBFO QAPD 2.1.2 - 2.1.2C; WTS QAPD 2.1.2 - 2.2.2)	15-PR, WIPP Records Management Program 15-PS.1, Management Control Procedure Writer's Guide 15-PS.2, Technical Procedure Writers Guide 15-PS3002, WTS Controlled Document Processing 10-2, Maintenance Operations Instruction Manual 10-WC3010, Maintenance PM/MWI Controlled Document Processing
Criterion 7 - Control of Purchased Items and Services (CBFO QAPD Section 2.3 - 2.3.2.9 D.4 and WTS QAPD 2.3 - 2.3.4 D)	15-PM3517, Stores Inventory Control MP 1.34, WTS Procurement and Property Program WP 09, Engineering Conduct of Operations 13-QA.04, Quality Assurance Department Administrative Program 13-QA.06, Quality Assurance Department Qualification and Certification of Nondestructive Examination Personnel 13-QA.20, Quality Assurance Inspection Plan for Ten-Drum Overpack Inventory 13-QA1001, Liquid Penetrant Examination 13-QA1002, Visual Inspection 13-QA1003, Quality Assurance Receipt Inspections 13-QA1004, Magnetic Particle Examination 13-QA1006, Quality Assurance Plant Inspections
Criterion 8 - Identification and Control of Items (CBFO QAPD 2.1.3 - 2.1.3.B.5; WTS QAPD 2.1.3 – 2.1.3.1.E)	08-NT3020, TRU Waste Receipt 08-NT3040, Empty Type-B Package Receipt 09-CN3021, Component Indices 13-1, WTS Quality Assurance Program Description 13-QA1006, Quality Assurance Plant Inspections DOE/WIPP 02-3183, CH Packaging Program Guidance
Criterion 9 – Control of Processes (CBFO QAPD 2.1 – 2.1.1.D, 2.1.4 - 2.1.4.B.2; WTS QAPD 2.1 – 2.1.1.D, 2.1.4 – 2.1.4.B)	04-AD3011, Equipment Tagout/Lockout 05-WH1410, Adjustable Center of Gravity Lift Fixture 05-WH1601, 20-Ton Diesel Forklift, 52-H-125 05-WH1602, 41-Ton Diesel Forklift, 52-H-005A 05-WH1741, 50/25-Ton Remote Handling Crane 41-T-001 08-PT.03, WIPP Quality Assurance Plan for Type "B" Packaging 08-NT3020, Rev. 9, TRU Waste Receipt 08-NT3030, Rev. 5, Empty Type-B Package Shipment 08-NT3040, Rev. 2, Empty Type-B Package Receipt 08-NT3111, Rev. 0, Return of TRU Waste to the Generator 05-WH1005, Rev. 10, CH Packaging Trailer Loading 05-WH1011, Rev. 19, CH Waste Processing 05-WH1015, Rev. 11, Preparation of CH Packaging for Empty Shipment

WTS Implementing Procedures Included In Audit A-04-21	
Activities	**Applicable WTS Documents**
	05-WH1083, Rev. 3, CH Packaging Operations DOE/WIPP 02-3183, Rev. 1, CH Packaging Guidance DOE/WIPP 02-3184, Rev. 1, CH Packaging Operations DOE/WIPP 02-3220, Rev. 4, CH Packaging for High Wattage Waste at LANL Qualification Cards WI-CH series of Work Instructions for the TRUPACT-II
Criterion 12 - Control of Measuring and Test Equipment	10-AD3028, Calibration and Control of Measurement and Test Equipment 10-AD3029, Calibration and Control of Monitoring and Data Radiological Instrument Calibration
Criterion 13 - Handling, Storage, and Shipping (CBFO QAPD 2.1.5 - 2.1.5.F; WTS QAPD 2.1.5 – 2.1.6)	02-RC3108, Request for Disposal 08-NT.12, WTS Transportation Program 08-NT3020, TRU Waste Receipt 08-NT3030, Empty Type-B Package Shipment 08-NT3102, Shipment of Hazardous Materials by Air 08-NT3103, Shipment of Nonradioactive Waste 08-NT3110, Shipment of Radioactive Materials 09-CN3021, Component Indices 13-1, WTS Quality Assurance Program Description 15-PM3517, Stores Inventory Control EA15PM3525-1.0, Shipping Authorization DOE/WIPP 02-3183, CH Packaging Program Guidance
Criterion 16 - Corrective Action	04-IM1000, Issues Management Program Processing of WIPP Forms
Sample Control	WP 02-1, WIPP Groundwater Monitoring Program Plan 97-2273, Periodic Confirmatory Measurement Protocol for the Waste Isolation Pilot Plant 02-EC.05, Quality Assurance Project Plan for WIPP Site Effluent and Hazardous 02-EC.06, WIPP Site Effluent and Hazardous Materials Sampling Plan 02-EC1001, Characterization Sampling, Shipping, and Documentation 02-EC1002, Lead and Copper Sampling of WIPP Drinking Water 02-EC1003, Low-Flow Groundwater Purging and Sampling 02-EM1005, Groundwater Serial Sample Analysis 02-EM1006, Final Sample and Serial Sample Collection 02-EM1012, Airborne Particulate Sampling 02-EM3001, Administrative Processes for Environmental Monitoring and Hydrology Programs 02-EM3003, Data Validation and Verification of RCRA Constituents 02-RC3108, Request for Disposal 12-HP3500, Airborne Radioactivity 12-IH1006, Airborne Containment Sampling 12-IH1828, Permit Mandated Air Quality Monitoring and Sampling 12-RC.01, Quality Assurance Program Plan for the Sampling Emissions of Radionuclides to the Ambient Air at the Waste Isolation Pilot Plant 12-RE3002, Radiological Engineering Off-site Air Sampling 12-RE3004, Periodic Confirmatory Sampling, Reporting, and Compliance Activities 12-RL1001, Sample Tracking and Custody 12-RL1010, Sample Preparation 12-RL1013, Sample Mounting 12-RL3004, Analytical Variance Reporting 12-VC.01, Confirmatory Volatile Organic Compound Monitoring Plan 12-VC.02, Quality Assurance Project Plan for Confirmatory Volatile Organic Compound Monitoring Plan 12-VC1620, VOC Sample Canister Handling & Sampling 12-VC3208, VOC Data Handling and Reporting 12-VC3209, VOC Monitoring Laboratory Data Review and Validation

WTS Implementing Procedures Included In Audit A-04-21	
Activities	**Applicable WTS Documents**
Software Control	WP 16-2, Revision 4, Software Screening and Action Plan 08-NT.01, WIPP Waste Information System Software Program and Data Management Plan 08-NT.04, WIPP Waste Information System Configuration Management and Software Quality Assurance Program 08-NT.05, WIPP Waste Information System Software Verification and Validation Plan 08-NT.06, WIPP Waste Information System Software Requirements Specification 08-NT.07, WIPP Waste Information System Software Design Description